

CFTC FOIA Office
Three Lafayette Centre
1155 21st Street NW
Washington, DC 20581

Report Date: 04/15/2019

Time: 4:00 PM

Requests Report

Requested between 10/01/2017 and 09/30/2018

Request ID	Requested Date	Request Description
18-00001-FOIA	10/06/2017	Copies of all tweets deleted by the CFTC's Twitter feed from January 2011 to the present.
18-00002-FOIA	10/03/2017	Any and all records created or transmitted by or between White House staff, including but not limited to their email addresses ending in "who.eop.gov," including but not limited to Jared Kushner, Stephen (Steve) Bannon, Reince Priebus, John F. Kelly, Justin Clark, George Sifakis, Andrew Giuliani, Bill Stepien, Stephen Munisteri, Jennifer Korn, Sarah Makin, Ivanka Trump, Gary Cohn, Jeremy Katz, Ashley Hickey Marquis, and Dina Powell, and CFTC employees. (Date Range for Record Search: From 11/09/2016 To 10/12/2017)
18-00003-FOIA	10/17/2017	Copies of all documents outlined in detail below: (1) Any direct correspondence with Louis ("Lou") Barletta or the staff or representatives of Louis Barletta, in his capacity as a United States Congressman, mayor, or as a private citizen (January 3, 2011 - present). (2) Any Freedom of Information Act requests filed regarding Louis ("Lou") Barletta or the staff or representatives of Louis Barletta, in his capacity as a United States Congressman, mayor, or as a private citizen and their responsive documents (January 3, 2011 - present). Direct correspondence should include letters, emails, reports, and other relevant material. (Date Range for Record Search: From 01/01/2011 To 10/17/2017)
18-00004-FOIA	10/17/2017	(1) Any direct correspondence between CFTC and West Virginia attorney general Patrick Morrisey ("Patrick J. Morrisey"), or the staff of West Virginia attorney general Patrick Morrisey between, January 2013- present; (2) Any direct correspondence between CFTC and Patrick Morrisey as a private citizen between April 1990-present; (3) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a congressional staffer between 1999 and 2004; (4) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a partner at Sidley Austin LLP between 2004 and 2010; (5) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a partner at King & Spalding LLP between 2010 and 2013. (Date Range for Record Search: From 04/01/1990 To 10/18/2017)
18-00005-FOIA	10/20/2017	A listing of all CFTC staff as of July 20, 2017. In other words, staff that received pay as of July 2017. For each staff person list the Name, Title, Pay Plan, Series, Grade, Base Salary, Total Salary, SCD Leave Date, CFTC Start Date, Date in Grade. Please list staff by Division and in alphabetical order.
18-00006-FOIA	10/22/2017	A copy of each internal CFTC report regarding Bitcoin. A copy of each internal CFTC report regarding blockchain (also known as block chain). A copy of each internal CFTC report regarding cryptocurrencies (or cryptocurrency).

18-00007-FOIA	10/25/2017	A copy of the FEVS (Federal Employee Viewpoint Survey) Agency Management Report for CFTC, for the year 2016. I also request a copy of the 2016 FEVS Trend Report for CFTC.
18-00008-FOIA	10/26/2017	Information or records regarding CFTC letter 40.2 pertaining to a request for compliance with core principals sent from the CFTC to the Chicago Mercantile Exchange (CME). This request was sent in July 2016. I am also requesting the response from the CME pertaining to this 40.2 letter and any other attachments or correspondence associated with this request. The response was sent back in August 2016.
18-00009-FOIA	10/31/2017	A copy of CFTC Docket 88-R252 (involving Garson).
18-00010-FOIA	10/31/2017	Information or records regarding: 1. Any CFTC staff correspondence, internal memos, reports, and/or opinions that reflect the "opinion" and "recommendation" referenced in the Concurring Statement of former CFTC Commissioner Sharon Brown-Hruska, which was appended to the CFTC's July 15, 2003 approval of the Chicago Board of Trade's ("CBOT"'s) 17 C.F.R. § 40.5 rule amendment proposals (pertaining to the implementation of its Clearing Link service) that were submitted under separate covers to the CFTC between June 13 through June 26, 2003. 2. The "Memorandum to the [CFTC] by the Division of Clearing and Intermediary Oversight dated September 5, 2003" which recommended that the CFTC register CBOT as a DCO, as stated in the CFTC's registration order dated October 7, 2003.
18-00011-FOIA	11/08/2017	Please provide a copy of any filings or written requests by CME Group or the Chicago Board of Trade (CBOT), made prior to January 1, 2009, seeking approval by the U.S. Commodity Futures Trading Commission (CFTC) of CBOT Rules 523 (Acceptance of Bids and Offers) (currently designated as CBOT Rule 522 pursuant to the CME rule harmonization plan) and CBOT Rule 540 (Responsibility for Customer Orders) and any amendments thereto. Additionally, please provide a copy of any order or notice from the CFTC approving any such filing or request by CME Group or CBOT relating to CBOT Rules 523 and 540.
18-00012-FOIA	11/10/2017	A copy of each internal CFTC report regarding Bitcoin.
18-00013-FOIA	11/14/2017	All documents, including but not limited to notes, emails or other communications, memoranda, written analysis, summaries, or calendar entries, regarding the following meetings: A meeting on August 26, 2010 regarding Swap Execution Facility Registration Requirements and Core Principle Rulemaking, Interpretation & Guidance; A meeting on October 15, 2010 regarding definitions required by the Dodd-Frank Act; A meeting on March 10, 2011 regarding governance and real-time reporting; A meeting on July 7, 2011 between Ananda Radhakrishnan and Richard Ribbentrop of USB AG; A meeting on March 27, 2012 regarding liquidity aggregation services and SEF registration; A meeting on March 29, 2012 regarding, among other things, impartial access to SEFs; Two meetings on June 8, 2012 (12 pm and 2 pm) regarding, among other things, swap dealer registration; A meeting on July 30, 2012 regarding SEF registration and aggregator platforms; A meeting on October 23, 2012 regarding clearing; A meeting on November 14, 2012 regarding SEFs; A meeting on December 5, 2012 regarding, among other things, SEF rules and SEF ownership limitations; and A meeting on January 15, 2013 regarding SEFs. (Date Range for Record Search: From 01/01/2010 To 12/31/2016)
18-00014-FOIA	11/14/2017	All communications between the chairman's office and anyone with a White House email address (sent to or from emails ending @wh.eop.gov) for the following date range: January 20 2017 through November 14 2017 (Date Range for Record Search: From 01/20/2017 To 11/14/2017)
18-00015-FOIA	11/10/2017	A chart or list of each CFTC division and office with name, title, grade, and supervisory status for each employee.
18-00016-FOIA	11/29/2017	Edward Laurence Fishman; NFA #284102
18-00017-FOIA	12/04/2017	Copies of the following CFTC Dockets: Docket 86-6 (involving Boston) dated around September 28, 1988 Docket 88-2 (involving SONNENBERG & SD) dated around May 17, 1988 Docket 78-1 (involving CARR) dated around January 22, 1988 Docket 83-R905 (involving Boring) dated around November 30, 1987 Docket R80-902-81-139 (involving CACCESE) dated around April 30, 1987 (Date Range for Record Search: From 04/20/1987 To 09/28/1988)

18-00018-FOIA	12/04/2017	All information regarding the case CFTC v Spencer Montgomery. Charges were filed March 13, 2012.
18-00019-FOIA	12/04/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive relief filings made to the NFA by non-US firms under CFTC Rule 30.10: Merrill Lynch Japan Securities Co Ltd, filed with NFA on April 28, 2017 and approved on May 15, 2017 Credit Suisse International, filed with NFA and approved on December 31, 2015 Societe Generale International Limited, filed with NFA on August 23, 2011 and approved on August 25, 2011 Deutsche Bank AG, filed with NFA on July 13, 2007 and approved on August 17, 2007 In particular, copies of the representations submitted by the non-US firm, correspondence and supporting material filed by the firm, and approval issued by NFA/CFTC staff.
18-00020-FOIA	12/04/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive orders granted under CFTC Rule 30.10: Eurex Germany Order dated May 8, 2002, as described at 67 Fed. Reg. 30,785 Financial Services Authority Order dated October 10, 2003, as described at 68 Fed. Reg. 58,583 Tokyo Financial Exchange Order dated October 14, 2008, as described at 73 Fed. Reg. 60,625 Korea Exchange Order dated February 11, 2016, as described at 81 Fed. Reg. 7,204 In addition, all publicly-discloseable information held by the CFTC in relation to the following pending petition made with the CFTC under Rule 30.10: Bombay Stock Exchange petition dated February 26, 2016, as described at https://sirt.cftc.gov/sirt/sirt.aspx?Topic=ForeignPart30Exemptions For each of the preceding items, provide copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations made by Commission staff in connection with the petition.
18-00021-FOIA	12/04/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive order granted under CFTC Rule 30.10: (1) Hong Kong Securities and Futures Commission dated March 25, 2015, as described at 80 Fed. Reg. 15680. In addition, copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations/determinations made by Commission staff in connection with the petition.
18-00022-FOIA	12/04/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive orders granted under CFTC Rule 30.10: (1) UK Securities and Investments Board dated May 9, 1989, as described at 54 Fed. Reg. 21599. (2) UK Association of Futures Brokers and Dealers dated May 19, 1989, as described at 54 Fed. Reg. 21604 (3) UK Securities Association dated May 19, 1989, as described at 54 Fed. Reg. 21609 (4) UK Investment Management Regulatory Organisation Limited dated May 19, 1989, as described at 54 Fed. Reg. 21614 (5) Letter from Michael Folger, Director of Conduct of Business Standards, FSA, to Jane Kang Thorpe, Director for the Division of Clearing and Intermediary Oversight, dated July 24, 2003 (6) Letter from John C. Lawton, Acting Director, Division of Trading and Markets, to Alan Whiting, Executive Director for Regulation and Compliance, LME, dated April 3, 2000. (7) Letter from Andrea Corcoran, Director, Division, to A.R.G. Frase, AFBD, dated June 19, 1990 (8) Letter from Andrea Corcoran, Director, Division of Trading and Markets, to the Hon. Christopher J. Sharples, Chairman, AFBD, dated October 10, 1989 For each of the preceding items, I would like copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations/determinations made by Commission staff in connection with the petition.
18-00023-FOIA	12/04/2017	Any information regarding identifiable with Ilya I. Kaminsky (NFA ID: 0245263). Timeframe: January 1996 to January 1998 Media articles dated January 1996 state Mr. kaminsky was fired from Salomon Brothers for mispricing trades. (Date Range for Record Search: From 01/01/1996 To 01/31/1998)
18-00024-FOIA	12/06/2017	(1) Confirmation that the final orders and award determinations of the CFTC's Whistleblower Office that are identified on the website https://www.whistleblower.gov/orders/ constitute a full listing of all final orders and award determinations as of the date of this request. To the extent that any final orders and award determinations of the CFTC's Whistleblower Office are not identified on this website, we request that the Whistleblower Office update this website and/or produce copies of such documents in response to this FOIA request. (2) Copies of any and all documents related to contacts made by Edwin Johnson and/or his agents with the Whistleblower Office. Such contact may include but not be limited to Covered Action Nos. 2016-031 - Advantage Futures LLC, Joseph Guinan, and William Steele - and 2017-001 - Igor B. Oystacher and 3Red Trading LLC.
18-00025-FOIA	12/07/2017	All orders, cover actions, awards, preliminary info as well as any relevant documents submitted Concerning WB-APP 2016-06-14-01, related Enforcement Action, and NCA 2016-015, in connection with 16-WB-06 re Citibank, n.a (CFTC docket no. 16-16),
18-00026-	12/08/2017	Visitor logs for Meetings with LabCFTC's office hours held for FinTech Innovators: LabCFTC Staff on the following dates: July 24-26, 2017 held in New York, September 19-20, 2017 held in New York,

FOIA		October 20, 2017 held in Chicago and December 1, 2017 held in New York.
18-00027-FOIA	12/28/2017	All available communications and documents from the Office of the Inspector General on investigations, probes or inquiries related to workplace sexual harassment and sexual assault claims at the Commodity Futures Trading Commission between November 2014 and November 2017. (Date Range for Record Search: From 11/01/2014 To 11/30/2017)
18-00028-FOIA	01/04/2018	Memorandum dated June 20, 2003, from the Division of Market Oversight ("DMO") (the "Futures Rules Memo") concerning the Chicago Board of Trade's ("CBOT"'s) June 16, 2003 request for the CFTC's determination of the materiality of amendments to specified rules of CBOT's futures contracts on various agricultural staples.
18-00029-FOIA	01/05/2018	CFTC's FOIA request log covering 2017, which includes a field showing the subject of each request and a field for the final disposition.
18-00030-FOIA	01/07/2018	A list of the Office of Inspector General's investigations that were closed in 2017. I request that this list contain the subject matter of each investigation.
18-00031-FOIA	01/10/2018	Any audio, notes, transcripts, documents, evidence of what was discussed at an August 9, 1956 hearing concerning proposed regulations applicable to hedging anticipate requirements of processors and manufacturers as noticed in 21 Fed. Reg. 5771, 5780 (Aug. 2, 1956) available at, http://cdn.loc.gov/service/ll/fedreg/fr021/fr021149/fr021149.pdf
18-00032-FOIA	01/15/2018	All Commodity Futures Trading Commission Congressional Correspondence Logs, including logs maintained by component, regional or program offices, for correspondence received between January 1, 2007, and January 16, 2018. To be clear, we are not requesting the correspondence texts. We are requesting all fields of information recorded in logs or log databases about each congressional correspondence such as the Correspondent Name, Correspondent Type or Organization, Addressee, Subject, Date Received, Date of Reply, Document Type, Processing Codes and Instructions, Reference or Control Numbers, Action, and Office to which the correspondence may have been assigned. (Date Range for Record Search: From 01/01/2007 To 01/16/2018)
18-00033-FOIA	01/17/2018	I would like the following materials, which were gathered by the agency as laid out in the appendix to 'plaintiff's motion for a restraining order' filed 17th April 2015. (1) Account statements and documents produced to the Commission by MF Global for accounts held by Sarao for the period March 2008 to October 2011. (2) Account statements and documents produced to the Commission by Marex Spectron for accounts held by Sarao Futures for the period November 2011 to April 2012. (3) Account statements and documents produced to the Commission by Knight Execution and Clearing Services for accounts held by Sarao Futures for the period July and August 2012. (4) Account statements and documents produced to the Commission by RJ O'Brien Associates for accounts held by Sarao Futures for the periods August 2012 to June 2014, and by Sarao himself for the period October to December 2014.
18-00034-FOIA	12/20/2017	Any direct correspondence with Martha McSally, or the staff or representatives of Martha McSally, in her capacity as a United States Congresswoman, and the CFTC Chairman, Commissioners, Office of the Executive Director, and Office of Legislative Affairs. (Date Range for Record Search: From 01/01/2015 To 01/25/2018)
18-00035-FOIA	01/30/2018	Any documents or emails within the CFTC's Office of Logistics and Operations mentioning "climate change" AND "risk assessment". Specifically, I am looking for the CFTC's "analysis of CFTC vulnerability to climate change" that started in July 2014 as required by Executive Order 13514 "Federal Leadership in Environmental, Energy, and Economic Performance."
18-00036-FOIA	02/01/2018	Copies of correspondence specifically those leading up to the issuance of a subpoena, including any subpoenas themselves, cease and desist letters and formal requests for information sent to the following entities: Bitfinex IFINEX Inc, BFNXA Inc, BFXWW Inc and Tether Ltd, Tether Holdings Ltd.
18-00037-FOIA	02/01/2018	Access to and copies of any materials produced in response to Senator Jeff Merkley's letter dated August 5, 2016 concerning implementation of the "Volcker Rule." This should include, but not be limited to: (1) Communications sent by, sent to, or carbon copying ("CC") Commodity Futures Trading Commission (CFTC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (2) Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (3) Communications with entities and individuals outside CFTC about potential responses to, and how

		to proceed with, the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (4) Documents, reports, and/or data provided to or requested by the CFTC from entities and/or individuals outside CFTC concerning the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (5) Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (6) Any communications received by CFTC staff from Sen. Jeff Merkley or his staff concerning the request for details about the implementation of the Volcker Rule contained in the August 2016 letter.
18-00038-FOIA	02/05/2018	I am requesting any and all documents and communication mentioning or pertaining to Bitfinex, Tether, or their principals: Jan Ludovicus van der Velde and Phil Potter. (Date Range for Record Search: From 09/01/2017 To 02/05/2018)
18-00039-FOIA	02/07/2018	(1) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Kraken AND Tether or Kraken AND Bitfinex. (2) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Poloniex AND Tether or Poloniex AND Bitfinex. (3) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Bittrex AND Tether and/or Bittrex AND Bitfinex. (4) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Binance AND Tether and/or Binance AND Bitfinex. (5) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words OKEx AND Tether and/or OKEx AND Bitfinex. (6) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Huobi AND Tether and/or Huobi AND Bitfinex. (Date Range for Record Search: From 09/01/2017 To 02/07/2018)
18-00040-FOIA	02/08/2018	A record of all employee and contractor expenses that include payment to the Trump International Hotel Washington D.C. since September 1, 2016, as well as all expenditures made by the Commodity Futures Trading Commission to the Trump International Hotel Washington D.C. since September 1, 2016. The expense records should include but not be limited to: the date of purchase at the hotel, the total amount paid, the good/service description of each line item, and if the expense is due to an employee of a sub-agency incurring the charge, please note which sub-agency. In credit card transactions, expenditures made at the Trump International Hotel in Washington D.C. may be noted as payments to a business alias, so I am listing several aliases that I am aware of below. Any payment made to these business aliases should be included in the record we are seeking. • TRUMP INTL HOTEL DC REST • TRUMP INTL HOTEL • BLT PRIME - WASHINGTON • BENJAMIN BAR & LOUNGE - WASHINGTON • TRUMP INTL HOTEL - WASHINGTON • TRUMP OLD POST OFFICE - WASHINGTON (Date Range for Record Search: From 09/01/2016 To 02/08/2018)
18-00041-FOIA	02/09/2018	"The U.S. Commodity Futures Trading Commission sent subpoenas on Dec. 6 to virtual-currency venue Bitfinex and Tether." I am requesting a copy of these subpoenas of Tether, Inc and Bitfinex (iFinex), as well as a copy of any additional correspondence, records and information related to this case.
18-00042-FOIA	02/09/2018	Copies of subpoenas issued to the following between December 1, 2017 and the date this request is processed: (1) BFXNA Inc.; (2) BFXWW Inc.; (3) Bitfinex; (4) Tether Limited; (5) The Kraken LLC; (6) The Bittrex Inc.; and (7) Poloniex LLC. (Date Range for Record Search: From 12/01/2017 To 02/09/2018)
18-00043-FOIA	01/31/2018	A copy of the FOIA log from October 1, 2016 through September 30, 2017. (Date Range for Record Search: From 10/01/2016 To 09/30/2017)
18-00044-FOIA	01/31/2018	A copy of the CFTC's latest annual report to Congress regarding CFTC's status.
18-00045-FOIA	01/31/2018	A copy of the CFTC's latest request for budget to the White House.
18-00046-FOIA	01/31/2018	A copy of the 2015, 2016, and 2017 report to the Attorney General regarding FOIA. (Date Range for Record Search: From 01/01/2015 To 12/31/2017)
18-00047-	02/13/2018	The subpoena that was delivered to BitFinex and Tether on December 6.

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18-00048-FOIA	02/13/2018	The subpoena that was sent to bitfinex and tether on December 6.
18-00049-FOIA	02/14/2018	Information on the reason for a disclosure related to Financial disclosures in the NFA 8 R of Spyros Nikolaos Papadakis (NFA ID: 0492735).
18-00050-FOIA	02/13/2018	Information or records regarding historical market data relating to the frequency of margin calls across firm types for the E-min S&P 500 futures contract & the Regular S&P 500 futures contract, going back to 1982 or as early as possible.
18-00001-CONS	02/16/2018	Karl Frisch (Allied Progress) submitted to the FDIC a FOIA request for "access to and copies of any materials produced in response to Senator Jeff Merkley's August 5, 2016 letter (see attached) concerning implementation of the "Volcker Rule." The request stated that this should include, but not be limited to: [1] Communications sent by, sent to, or carbon copying ("CC") Federal Deposit Insurance Corporation (FDIC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [2] Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [3] Communications with entities and individuals outside FDIC about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [4] Documents, reports, and/or data provided to or requested by the FDIC from entities and/or individuals outside FDIC concerning the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [5] Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the attached letter[; and] [6] Any communications received by FDIC staff from Sen. Jeff Merkley or his staff.
18-00051-FOIA	02/18/2018	Copies of the original email(s) requesting no-action relief, which were sent by Victoria University of Wellington, and is responded to in "CFTC Letter No. 14-130" : http://www.cftc.gov/idc/groups/public/@lrllettergeneral/documents/letter/14-130.pdf
18-00052-FOIA	02/18/2018	Copies of records gathered and generated by the CFTC's investigation of trading in financial futures products prior to the events of September 11, 2001. The CFTC's investigation is referenced in the SEC's "Information Memorandum" of May 15, 2002 to the Commission from the Division of Enforcement regarding its Pre-September 11, 2001 Trading Review.
18-00053-FOIA	02/16/2018	Information on the reasons for the positive answers to the three disclosures related to Regulatory disclosures in the NFA 8 R of Robin Rogers (NFA ID: 0357531).
18-00054-FOIA	02/21/2018	Access to and copies of all emails exchanged between: (1) Current Division Directors and all former Commissioners (Sharon Bowen, Timothy Massad, Mark Wetjen, Scott O'Malia, Bart Chilton, Gary Gensler, Jill Sommers, Michael Dunn, Walter Lukken, Reuben Jeffery, Frederick Hatfield, and Sharon Brown-Hruska) from 1/20/17 to 2/21/18 (date of your request); (2) Chairman Giancarlo and all former Commissioners from 1/20/17 to 2/21/18; and (3) Commissioners Brian Quintenz and Rostin Behnam and all former Commissioners from 1/20/17 to 2/21/18. (Date Range for Record Search: From 01/20/2017 To 02/21/2018)
18-00055-FOIA	02/21/2018	Any communications, between May 1 and Oct. 1 of 2017, sent to or from J. Christopher Giancarlo, Mike Gill and Richard Danker regarding the Financial Stability Oversight Council's procedures for designating or de-designating a systemically important financial institution, including but not limited to American International Group. In addition, any communications to or from Giancarlo, Gill and Danker, during that same time period, related to Jay Clayton's recusal from FSOC's AIG vote. (Date Range for Record Search: From 05/01/2017 To 10/01/2017)
18-00056-FOIA	02/23/2018	The subpoenas issued to iFinex inc. also known as Bitfinex and it's subsidiary companies, as well as subpoenas issued Tether Limited and its subsidiary companies. These subpoenas were likely issued around mid December of 2017. I am also looking for any documents that are able to be made public pertaining to the investigation relating to the subpoenas issued to Tether and Bitfinex.
18-00057-	02/23/2018	Copy of the Agency Reform Plan submitted to the Office of Management and Budget ("OMB") in approximately September 2017 in accordance with OMB Memorandum M-17-22 ("Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce").

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18-00058-FOIA	02/25/2018	Access to the Apache server log files (anonymized if necessary) that record and store user access statistics for the cftc.gov website.
18-00059-FOIA	02/26/2018	Copies of the following CFTC Dockets: 1. Docket 83-R413 (involving Sandlin) dated around April 13, 1987 2. Docket 86-R184 (involving Marriott) dated around March 20-26, 1987 3. Docket 80-27 (involving John) dated around February 27, 1987 4. Docket 86-6 (involving Commodity) dated around January 16, 1987 5. Docket 86-4 (involving Comenzo) dated around November 4, 1986
18-00060-FOIA	02/26/2018	All ROIs or closing memos for CLOSED investigations in 2016, 2017 and thru present day 2018 (either calendar or fiscal year is acceptable) for computer misuse cases in which "porn" or "pornographic" or "pornography" are referenced.
18-00061-FOIA	02/27/2018	A list of uncashed checks of \$15,000+ from 1/1/2013-10/1/2017 - vendors checks, and all else. Please include Payee, check date, check #, and check amount.
18-00062-FOIA	02/27/2018	Copies of the following information: The Organizational Charts for the Chief Information Officer of Commodity Futures Trading Commission- something that includes the names and titles/departments of the people who report to the Chief Information Officer of Commodity Futures Trading Commission. I would also ask that this Organizational Chart contain the direct reports of the people reporting to the Chief Information Officer. Also, contact information on the people listed in the above organizational charts to include: Business Address, Direct Business Telephone Number, and Business Email Address.
18-00063-FOIA	02/28/2018	Copies of all subpoenas from the CTFC to CommunityOne Bank, N.A., in 2009 and 2010 concerning or relating to Keith Simmons and Black Diamond Capital Solutions LLC.
18-00064-FOIA	01/30/2018	1. Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts judgements, converted to Securities, as overseen by your Commission. 2. Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange. 3. Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and or/sell, their judgements, converted to Securities/Bonds/Mortgage back Securities.
18-00065-FOIA	02/27/2018	1. Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts judgements, converted to Securities, as overseen by your Commission. 2. Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange. 3. Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and or/sell, their judgements, converted to Securities/Bonds/Mortgage back Securities.
18-00066-FOIA	03/01/2018	A copy of the schedule, meeting/appointment book for CFTC Chairman J. Christopher Giancarlo from Jan. 1, 2017 to Feb. 28, 2018. (Date Range for Record Search: From 01/01/2017 To 02/28/2018)
18-00067-FOIA	03/09/2018	CFTC's FY 2018 Office of Data and Technology budget of \$74,760,499 (based on CFTC's FY 2018 continuing resolution of \$248,302,250) broken out by object class (similar to Table 3 in CFTC's FY 2019 President's Budget but limited to the Office of Data and Technology).
18-00068-FOIA	03/13/2018	Any and all talking points and similar memorandums, emails, and transcripts providing advice or direction on how to handle the media, media interviews and statements. Please include in your responsive materials any documents, emails or communications with the following phrases in the title or subject line. Talking points, STMT, Statement, Press Strategy. (Date Range for Record Search: From 11/08/2016 To 03/13/2018)
18-00069-FOIA	03/14/2018	A complete copy of all records in your possession regarding: (i) All documents in the possession or control of any component of the Commission concerning investigations involving or relating to Daniel T. Reineke, Daniel T. Reineke, PE, P.C. located at 6900 North Classen, Oklahoma City, OK 73116, and/or C.D. Operating Company, Inc. last located at 1833 S. Morgan RD Oklahoma City, OK 73128. (ii) All correspondence between the Commission and Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or C.D. Operating Company, Inc. (iii) All documents received from Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or C.D. Operating Company, Inc. pursuant to any subpoenas or

		requests for information including any subpoenas thereto. (iv) All documents concerning any fines or penalties paid by or assessed to Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or C.D. Operating Company, Inc.
18-00070-FOIA	03/20/2018	All emails between CFTC division directors or commissioners with John Lothian from January 20, 2016 to the present.
18-00071-FOIA	03/26/2018	Copies of the following CFTC Dockets: 1. Docket 85-30 (involving Shatner) dated around March 28, 1986 2. Docket R79-466-80-200 (involving Arvinen) dated around March 26, 1986 3. Docket 85-8 (involving Kuhlik) dated around March 21, 1986 4. Docket R 81-37-81-544 (involving Sanchez) dated around January 15, 1986 5. Docket 83-470 (involving Conti) dated around December 13, 1985
18-00072-FOIA	03/22/2018	copy of each email TO or FROM or CC individuals in the CFTC Office of Legislative Affairs, during the time period March 19, 2018 - March 22, 2018, that contains EITHER the word Budget OR the word appropriation. 2) A copy of each email TO or FROM or CC individuals in the CFTC Office of Public Affairs, during the time period March 19, 2018 - March 22, 2018, that contains EITHER the word Budget OR the word appropriation (Date Range for Record Search: From 03/19/2018 To 03/22/2018)
18-00073-FOIA	03/28/2018	Copies of the non-public registration documents on file with NFA for Grantham Mayo Van Otterloo & Co, LLC
18-00074-FOIA	04/04/2018	1) Records sought, but not limited to, the following individuals, any aliases, companies and case file: a) Donovan Davis, Jr.; Sex: male; Race: Black; DOB: 6/11/81 b) Capital Blu Management, LLC c) CBMFX Fund, LP. Specifically, any documentation, emails or notes of any and all information regarding the subject, but not limited to the following: The 2009 Grand Jury Subpoena. Notably , the Grand Jury Subpoena was served upon receiver Lewis B. Freeman in regards to Donovan Davis Jr. and/or Capital Blu Management, LLC by the U.S. Attorney's Office on June 08, 2009. Subsequent the resignation of Lewis B. Freeman, Freeman was ordered to transfer all books and records1 including the Grand Jury Subpoena to successive receiver Marsha Lyons. Freeman did. Finally, when th-e civil proceedings concluded in' th.e case, CFTC v.' Capital Blu Managemer.it,"·e(al., The Honorable Judge Ant·oon, ordered. Marsha Lyons fo return ALL the documents in her possession to the CFTC. Lyons did according to admissions from attorneys Daniel Jordan and Patrick Pericak.
18-00075-FOIA	04/04/2018	Copies of the following: 1) Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts udgments, converted to Securrities as overseen by your Commission; 2) Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange; 3) Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and or/sell, their judgments, converted to Securities/Bonds/Mortgage back Securities.
18-00076-FOIA	03/30/2018	I am seeking documents related to the CFTC's investigation of the cryptocurrency Tether and the cryptocurrency exchange Bitfinex/iFinex, and their parent companies. Specifically, I'm seeking: 1. Copies of the subpoenas sent to Tether and Bitfinex in December 2017, as reported by Bloomberg and The New York Times: https://www.bloomberg.com/news/articles/2018-01-30/crypto-exchange-bitfinex-tether-said-to-get-subpoenaed-by-cftc , https://www.nytimes.com/2018/01/31/technology/bitfinex-bitcoin-price.html 2. Copies of any records, including email correspondence, pertaining to the CFTC's investigation into Tether and Bitfinex.
18-00077-FOIA	04/11/2018	am seeking any and all non-classified documents from the years 2003 through 2015 pertaining to investigations and/or inquiries into any of the following businesses and individuals: Optionable, Inc. Platinum Management (NY), LLC ("Platinum Partners") Centurion Credit Management Level 3 Capital Funds Mark (Meir) Nordlicht Murray Huberfeld Jack Simony Ari Glass
18-00078-FOIA	04/13/2018	For the period 1/1/04-Present: 1) Complaints received by the CFTC concerning the manipulation of VIX-related financial products, along with any supporting materials received in connection with those complaints; 2) Data reflecting: a. the identities of market makers for SPX Options, VIX futures, VIX options, or any other VIX-related exchange traded products and b) all long and short positions in VIX futures or VIX options held by 91) any CBOE Trading Permit Holder or Associated Person of a Trading Permit Holder or (2) any CBOE Futures Exchange Trading Privilege Holder or Authorized Trader in the 24 hours prior to the conclusion of VIX settlement dates for VIX futures and options and c) "Tick" data reflecting bids and offers for S&P 500 option series (SPX Options) from (1) any CBOE trading permit holder or associated person of a trading permit holder, or (2) any CBOE Futures Exchange Trading Privilege Holder or Authorized Trader during the Special Opening Quotation (SOQ") settlement procedure for VIX futures and VIX options; 3) Records and Information

		concerning any CFTC investigation into the potential or actual manipulation of the VIX, VIX futures, VIX options, VIX ETFs or SPX options.
18-00079-FOIA	02/13/2018	Pursuant to the Freedom of Information Act ("FOIA"), 5 U.S.C. §552, et seq., I request access to and copies of all congressional correspondence logs regarding correspondence between any officials at the Commodity Futures Trading Commission and Representative Andy Barr (KY-06) between January 1, 2013 and February 13, 2018 .. In the event formal congressional correspondence logs are not maintained between the Commodity Futures Trading Commission and members of Congress, I request access to and copies of all records of or reflecting communications to or from any officials at the Commodity Futures Trading Commission and Representative Andy Barr (KY-06) between January 1, 2013 and February 13, 2018. (Date Range for Record Search: From 01/01/2013 To 02/13/2018)
18-00080-FOIA	04/20/2018	In regard to In Re: Comm. v. Nathaniel C. Clark, Case No. CP0001116/2013; OTN: T3401285, copies of any and all Bonds and/or other Securities (including the CUSIP numbers assigned thereto, and regardless of whether or not said Bonds and Securities are registered or unregistered) that may have been issued, traded, and sold in my name and likeness concerning the above-referenced criminal case.
18-00081-FOIA	04/24/2018	Listing of the firms that are registered as CCPs - Central Counter Parties
18-00082-FOIA	05/03/2018	We are making a Freedom of Information Act request for a current list of all Commodity Futures Trading Commission employees, in electronic format, sent via email address to Ifunk@fedemplben.org , and include the following fields in a "Comma separated format" (CSV) or Excel format: Employee Full Name Agency Name and Location Employee Work Email Address Job Title Salary Please give a cost estimate before processing this request.
18-00083-FOIA	05/10/2018	I am interested in dataseries concerning the WTI net-long position of futures traders. Here's an example from an article from worldoil.com: "Money managers decreased their WTI net-long position -- the difference between bets on a price increase and wagers on a drop -- by 4.3% to 446,023 futures and options during the week ended March 6, according to the U.S. Commodity Futures Trading Commission. Longs shrank 3.1%, while shorts surged 15%, by the most since early December." Could you provide me with an excel file containing data like this? Or could you show me where I should look? It would be a great help for my report.
18-00084-FOIA	05/14/2018	I make this request for records pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. § 552 and Commodity Futures Trading Commission regulations. Specifically, I hereby request your office produce, within 20 business days 1) all correspondence, letters, emails, text messages, facsimiles, telephone messages, voicemail messages, and transcripts, notes, or minutes of any meetings, telephone conversations, discussions, and attachments to emails or other records regarding Christopher Giancarlo's, chairman of the Commodity Futures Trading Commission, visit to the Trump International Hotel Washington D.C. on or around March 5, 2018. I seek records of any kind, including paper records and electronic records.
18-00086-FOIA	05/15/2018	Under the freedom of Information Act, 5 USC Section 552, I am requesting information on records for Martin Fund Management. I am only interesting in receiving CTA PR Form on the MARTIN FUND ONE for the years 2015 and 2016. (Date Range for Record Search: From 01/01/2015 To 12/31/2016)
18-00085-FOIA	05/09/2018	Information on the reason for a disclosure related to Regulatory disclosures in the NFA 8 R of Timothy Michael Higgins (NFA ID: 0502490).
18-00087-FOIA	05/17/2018	Emails exchanged since January 3, 2017, between the CFTC director of legislative affairs and Grant Dubler (U.S. Representative Jacky Rosen's office) concerning "DE Shaw and Co." (Date Range for Record Search: From 01/17/2017 To 05/17/2018)
18-00088-FOIA	05/23/2018	copies of records related to the May 4, 2017 letter ("letter") addressed to Sen. Jeff Merkley, which was signed by J. Christopher Giancarlo, Acting Chairman of the Commodity Futures Trading Commission. Specifically, we request all records documenting that the letter was sent and delivered to Sen. Merkley's office by the CFTC. This should include, but not be limited to: • All emails between the CFTC and Sen. Merkley's office that referenced or attached the letter • Tracking information (if letter was sent by Certified Mail or similar service) • Any other records documenting that this letter was physically or digitally sent to Sen. Merkley's office
18-	05/23/2018	seeking a listing of all registered Associated Persons with the NFA, including any publicly available

00089-FOIA		contact information(including business and home addresses and phone numbers if available), as well as the firm that they are associated with, and any additional designations (branch manager, principal) that they hold. Additionally, I would like a listing of all branch offices, including contact information, designated branch manager, and the firm they are associated with. Finally, I would like a listing of all Introducing Brokers, including contact information.
18-00090-FOIA	05/24/2018	Resumes and position descriptions for Timothy G. Massad; Sayee Srinivasan; Vontrece Wilson; Shonneice Jones; Cory Claussen; Steven W. Adamske; Erica Elliott Richardson; Dawn DeBerry Stump; Christopher Giancarlo; Brian D. Quintenz; Rostin Behnam; John Shosky; Rich Danker; James McDonald; Bruce Tuckman; Andrew Busch; N. Charles Thornton
18-00091-FOIA	05/29/2018	A copy of every Form WB-APP whistleblower claim submitted to the CFTC whistleblower program(with identifying information redacted); All emails and other written communications since January 1 2017 to date, sent to or from the CFTC Whistleblower Office (WBO) to whistleblower claimants or their representatives regarding submitted whistleblower claims; The total \$ value of sanctions (penalties and disgorgement and interest) collected for all covered actions listed in Notices of Covered Actions on the WBO website to date; The total \$ value of contingent claims accrued to the Customer Protection Fund since 10/1/17; All emails and memoranda from the CFTC WBO to other CFTC staff that reference the amount of time it takes or is taking to process whistleblower claims generally and/or a specific whistleblower complaint, including any that mention delays or time extensions.
18-00092-FOIA	05/31/2018	I am requesting all emails to and from CFTC chief of staff Michael Gill containing the address "@who.eop.gov". I am requesting these emails between April 1, 2018 and April 30, 2018, inclusive. (Date Range for Record Search: From 04/01/2018 To 04/30/2018)
18-00093-FOIA	06/06/2018	1) Transcripts of all depositions of any individuals or entities associated with SS&C Technologies, Inc or First Republic Bank or HSBC Bank; 2) Copies of all documents or information provided or produced by SS&C, FRB or HSBC; 3) Copies of all correspondence SS&C, FRB or HSBC.
18-00094-FOIA	06/07/2018	Copies of records, electronic or otherwise, of the following: all tips and whistleblower submissions submitted to the CFTC's Whistleblower office, as outlined via these methods: https://www.whistleblower.gov/ . Include all tips received by the CFTC, dated January 1, 2017 through December 31, 2017.
18-00095-FOIA	06/05/2018	Any documents, files or materials related to the "new virtual currency surveillance tools" recommended by the LabCFTC to the CFTC's Enforcement division. Specifically, referring to this reference from CFTC Chairman Christopher Giancarlo June 5, 2018 testimony to the Senate Appropriation Committee Subcommittee on financial services and general government. "In fact, through its engagement with--and study of--innovative technologies. Our Enforcement team has been able to avail itself of this new technology and is now able to enhance certain surveillance and enforcement activities."
18-00096-FOIA	06/08/2018	All emails sent to, from, or copied to: J. Christopher Giancarlo, from January 1, 2016 to Present Day containing any of the following non-case-sensitive key-string: "liberals", "kushner", "Giuliani", "Mastroianni", "Elliott Broidy", "Mark Siffin", "EB-5", "George Nader", "Erik Prince", "alias", "FOIA", "Israel" or "whistleblower." Records that are classified as newsletters, junk or spam, may be excluded from the search.
18-00097-FOIA	05/30/2018	Copies of any and all records found of any and all bonds and/or securities, either registered or unregistered, that may have been issued, traded an/or sold with respect to the following case: In re: Commonwealth of PA v. Johnson, Case #9709276, OTN: G0161556; Case #9708047, OTN: C8622655.
18-00098-FOIA	05/31/2018	[1] True and Correct copy of any and all records on file with your Office/Department/Agency, from February 19,1968 through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate to operate and/or confer upon either the Commonwealth of Pennsylvania and/or the United States any contractual, controlling, insurable, lawful, legal, pecuniary, regulatory and/or any other interest in myself and/or in my property; and/or which can be relied upon to demonstrate that I myself am property to the benefit of any County, State, etc., and/or otherwise; [2] True and Correct copy of any and all records on file with your Office/Department/Agency, from February 19,1968 through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a statutory "person" and/or juristic "person" as defined in either Pennsylvania's and/or the United States' various Acts, Laws, Statutes and/or Codes; and/or which can be relied upon to demonstrate that I myself am a statutory "person" and/or juristic "person" subject to said Acts, Laws, Statutes, and/or Codes; and/or which can be relied upon to demonstrate

		that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to act and/or operate in the capacity of a statutory "person" and/or juristic "person"; [3] True and Correct copy of any and all records on file with your Office/Department/Agency, from February 19,1968 through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a "resident", "citizen" and/or "subject" of either the Commonwealth of Pennsylvania and/or of the United States; and/or which can be relied upon to demonstrate that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to act and/or operate in the capacity of a "resident", "citizen" and/or "subject" thereof; [4] True and Correct copy of any and all records on file with your Office/Department/Agency, from February 19,1968 through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am subject to the various jurisdictions and venues of each of the following; and/or which can be relied upon to demonstrate that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to be subject to the various jurisdictions and venues of each of the following: [a] Pennsylvania State Government [b] Territorial Pennsylvania State Government [c] Municipal Pennsylvania State Government [d] United States National Government [e] Territorial United States Government [f] Municipal United States Government [5] True and Correct copy of any and all records on file with your Office/Department/Agency, from February 19,1968 through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a "refugee" under International law and am therefore considered captured property of either the Commonwealth of Pennsylvania and/or United States; and/or which can be relied upon to demonstrate that I myself have at any time knowi
18-00099-FOIA	06/19/2018	Copies of any and all documents -- including, but not limited to, correspondence, filings, financial disclosures, investigation memoranda, reports, studies, surveys, corporate foundational documents, applications, and registrations -- which are in the CFTC's possession, custody, or control that relate to, refer to, or concern Payward, Inc. d/b/a Kraken. The relevant time period runs from January 1, 2016 to the present date. (Date Range for Record Search: From 01/01/2016 To 06/19/2018)
18-00100-FOIA	06/21/2018	Copies of (1) The CFTC's complete record of its investigation into Case No. 16-cv-6551, excluding the approximately 37,600 pages of documents that FXCM produced to the CFTC. This request is limited to the issues contained in Count III of the complaint, related to potential violations of Regulation 5.16.; (2) All documents and correspondence related to the Flash Crash's effect on FXCM; (3) All documents and correspondence related to any request by FXCM to the CFTC for additional time to raise money so that FXCM could come into compliance with its capital requirements, including but not limited to requests for additional time under CFTC Regulation 5.7. The relevant time period for this request is January 15-16, 2015; (4) All documents and correspondence related to FXCM's zero debit policy, including FXCM's marketing materials and client agreements which reference the zero debit policy. The relevant time period for this request is January 1, 2009 through December 31, 2017; (5) Copies of all initial complaints and transcripts of all depositions or interviews taken in connection with the following CFTC Enforcement Actions, in which FXCM was named as a party: a. CFTC Docket No. 11-18 b. CFTC Docket No. 17-09 c. CFTC Docket No. 15-28 d. CFTC Docket No. 12-01; (6) All documents and correspondence between the CFTC and FXCM related to Regulation 5.16, including but not limited to documents related to the adoption of Regulation 5.16. The relevant time frame for this request is January 1, 2009 through December 31, 2017; (7) All documents and correspondence related to any other investigations by the CFTC of FXCM, not including CFTC reparations cases. The relevant time period for this request is January 1, 2009 through December 31, 2017; (8) All documents and correspondence between the CFTC and FXCM related to any proposal by government regulators to lower leverage ratios for retail forex investors. The relevant time period for this request is January 1, 2009 through December 31, 2016.
18-00101-FOIA	06/08/2018	Information on the reason for the positive answer to part E of the Regulatory Disclosure section in the NFA registration form of AQR Capital Management LLC (NFA ID: 0285701) dated 1 May 2017.
18-00102-FOIA	06/22/2018	All documents and correspondence related to the CFTC's investigation into other companies' violation, or potential violation, of CFTC Regulation 5.16. If any CFTC enforcement actions were brought for violations of Regulation 5.16, please produce all initial complaints, final orders, and copies of transcripts or interviews taken in connection with those actions. The relevant time period of this request is January 1, 2010 through January 31, 2017.
18-00103-FOIA	06/25/2018	Copy of any and all documents -- including, but not limited to, correspondence, filings, financial disclosures, investigation memoranda, reports, studies, surveys, corporate foundational documents, applications, and registrations -- which are in the CFTC's possession, custody, or control that relate to, refer to, or concern Coinbase. If you deny any part of this request, please cite each specific reason that you think justifies your refusal to release the information and notify me of

		all appeal procedures available to me under law.
18-00104-FOIA	06/26/2018	Copies of: CFTC Docket No. 82-R-534 December 12, 1983 JAMES NELSON v. CHILCOTT COMMODITIES CORPORATION, ORDER GRANTING INTERLOCUTORY REVIEW
18-00105-FOIA	06/26/2018	Requesting a copy of the following documents be provided: (1) All Compliance manuals or written supervisory procedures submitted to you by market participants in the past year. (2) All Policy & Procedure documents submitted to you by market participants in the last year.
18-00106-FOIA	06/29/2018	Copy of Calvin Lee Word's offer of settlement in CFTC Docket 86-6 (dated approximately September 1989) 2. CFTC press release # 3188-89 regarding settlement with Calvin Lee Word (November 28, 1989)
18-00107-FOIA	07/03/2018	The scandal regarding Forex was based on chat transcriptions from a Bloomberg Chat Room. These chat transcriptions were used on the class action 1:13-cv-07789 in NY Southern District, which resulted in this settlement: http://www.fxantitrustsettlement.com/ The FCA (UK) has also fined five banks: https://www.fca.org.uk/news/press-releases/fca-fines-five-banks-%C2%A311-billion-fx-failings-and-announces-industry-wide Quite a few samples were uploaded on CFTC's (USA) own website and made available to the public. For instance: https://www.cftc.gov/sites/default/files/idc/groups/public/@newsroom/documents/file/hsbcmisconduct111114.pdf According to some news sources, the guardian and others, these chat transcriptions have been made public: https://www.theguardian.com/business/2014/nov/12/fca-transcripts-traders-forex-traders-chat-rooms-foreign-exchange Would I be able to receive/access these chat transcripts in full? In special, the chat transcriptions between a trader from JPMorgan and a trader from Société Générale, on the 30th of June, 2010, between 10:58 and 11:04.
18-00108-FOIA	07/09/2018	Any written agreement between the Commodity Futures Trading Commission and Chicago Mercantile Exchange Inc. requiring the sharing of information related to the crypto spot exchanges used to calculate the BRR index referenced in the CME's self-certification for "Initial Listing of the Bitcoin Futures Contract" on Dec. 1, 2017. The info-sharing agreements would be in to CME's notice, Re: CFTC Regulation 40.2(a) Certification. Notification Regarding the Initial Listing of the Bitcoin Futures Contract. CME Submission No. 17-417. Exchanges/trading platforms that provide pricing data, including Bitstamp, GDAX, itBit and Kraken
18-00109-FOIA	07/09/2018	any communications between CFTC employees regarding the CFTC's regulatory jurisdiction over single-name and index credit default swaps contracts. More specifically, we are seeking communications between November 10, 2017 and June 15, 2018 that involve the CFTC's decision to respond to GSO Capital Partners' purchase of Hovnanian Enterprises credit default swaps contracts, and how the agency took the lead in responding to the trade instead of the Securities and Exchange Commission.
18-00110-FOIA	07/10/2018	Any and all investigative records in regard to George D. Hudgin. Specifically, the conviction for his participation in the 3737 Financial L.P. commodity pool, also known as Hudgins Group and Hudg-Investments. The offender was sentenced in 2009 by the U.S. District Court for the Eastern District of Texas. I would like to request the investigative reports leading to the original indictment. If a pre-sentence investigation or report exists I would also like a copy of that. Also, if available, a record of how much money was recovered and how much was not recovered and if any is unaccounted for would be of special interest.
18-00002-CONS	07/11/2018	Copies of any materials produced in response to Senator Jeff Merkley's August 5, 2016 letter concerning the implementation of the "Volcker Rule." Communications sent by, sent to, or carbon copying ("CC") Office of the Comptroller of the Currency (OCC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter. " Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the attached letter. " Communications with entities and individuals outside OCC about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter. 11 Documents, reports, and/or data provided to or requested by the OCC from entities and/or individuals outside OCC concerning the request for details about the implementation of the Volcker Rule contained in the attached letter. " Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the attached letter. " Any communications received by OCC staff from Sen. Jeff Merkley or his staff concerning the request for details about the implementation of the Volcker Rule contained in the attached letter.
18-00111-	07/13/2018	requesting a written transcript of the January 31, 2018 meeting of the CFTC's Market Risk Advisory Committee. The CFTC's website currently provides the written testimony of the Commissioners and

FOIA		a link to the meeting video but there is no written transcript of the meeting or event the posted testimony of the other meeting participants who were reading from prepared remarks
18-00112-FOIA	07/02/2018	Request For Assistance Concerning Possible/SUSPECTED BOND & SECURITIES FRAUD FORMAL REQUEST PURSUANT TO THE FREEDOM OF INFORMATION ACT (5 U.S.C. §552) fully ask if you could conduct and investigation and search of all relevant bond and securities data -sources known to see if my suspicions and beliefs are correct. If you can and are willing to assist me in this time sensitive matter and you are able to confirm the existence of said bonds and securities, I kindly ask that you provide me with the CUSIP Numbers assigned thereto; and, if known or found, the name and address of the current holder having possession, custody or control of said bonds and securities. If you can and are willing to provide me with the herein requested assistance, I am providing you with my date of birth and social security number in case they are needed to conduct your investigation/ search. Should you require any additional information from me, please do not hesitate to contact me at the above listed address
18-00113-FOIA	07/18/2018	Request for copies of the non-public registration documents on file with NFA for Zack Hampton Bacon III, NFA # 98046
18-00114-FOIA	07/24/2018	Allied Progress requests access to and copies of certain records related to Kirsten Sutton Mork, who is currently Chief of Staff at the Consumer Financial Protection Bureau (CFPB). Specifically, we request all digital correspondence (email) sent by, sent to, or carbon copying ("CC") any employee within the CFTC's Office of Legislative Affairs that was sent by, sent to, or CC'ed Ms. Sutton Mork during either of the following date ranges: • January 1, 2007 – September 30, 2007 • June 1, 2008 – February 1, 2018 Ms. Sutton Mork was a congressional staffer during these time periods. For your reference, she has held the following positions: • From January – September 2007, Sutton Mork worked as a Legislative Assistant to Rep. Peter Roskam (R-IL). • From June 2008 – May 2009, Sutton Mork worked as a Legislative Assistant to Rep. Tom Price (R-GA). • From May 2009 – January 2013, Sutton Mork worked as Legislative Director and Financial Services Policy Adviser for Rep. Jeb Hensarling (R-TX). • From January 2012 – February 2018, Sutton Mork worked for the House Financial Services Committee as a Professional Staff Member, Deputy Staff Director, and Staff Director. Ms. Sutton Mork is known to have used the email address kirsten.mork@mail.house.gov; however, searches should not be limited to this address. She has gone by "Kirsten Sutton," "Kirsten Mork," and "Kirsten Sutton Mork" – we ask that your searches include all variations of this name. If possible, I would prefer to receive this information electronically via e-mail at karl.frisch@alliedprogress.org. If you have questions or need additional information, please feel free to call me at (202) 644-8526. (Date Range for Record Search: From 01/01/2007 To 02/01/2018)
18-00115-FOIA	08/01/2018	1. All written communications between the CFTC and Interactive Brokers, LLC ("IB") relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07; 2. All information and materials provided to the CFTC by IB relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07 (except IB compliance manuals, which are not requested); 3 All affidavits, sworn testimony, or unsworn statements provided to the CFTC by IB officers, agents, or employees relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07; (4) All requests for confidential treatment made under 17 C.F.R. §145.9 IB relating to the written communications, information, materials, affidavits, sworn testimony, and/or unsworn statements described in paragraphs 1-3 above; 5. All documents in the CFTC file for and/or relating to In re Interactive Brokers, LLC, CFTC Docket No. 07-07; (6) All written communications between the CFTC and Interactive Brokers, LLC ("IB") relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27; (7) All information and materials provided to the CFTC by IB relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27(except IB compliance manuals, which are not requested); (8) All affidavits, sworn testimony, or unsworn statements provided to the CFTC by IB officers, agents, or employees relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27; 9. All requests for confidential treatment made under 17 C.F.R. § 145.9 by IB relating to the written communications, information, materials, affidavits, sworn testimony, and/or unsworn statements described in paragraphs 5-7 above; 10. All documents in the CFTC file for and/or relating to In re Interactive Brokers, LLC, CFTC Docket No. 12-27
18-00116-FOIA	08/01/2018	Request for Disclosure document dated January 1, 2018 on file with NFA for Intex, Inc. NFA # 397840
18-00118-FOIA	08/01/2018	Copies of non-public registration documents on file with NFA for Andrew David Nelson, NFA #507745
18-	07/12/2018	seeking a listing of all registered Associated Persons with the NFA, including any publicly available

00001-AP		contact information(including business and home addresses and phone numbers if available), as well as the firm that they are associated with, and any additional designations (branch manager, principal) that they hold. Additionally, I would like a listing of all branch offices, including contact information, designated branch manager, and the firm they are associated with. Finally, I would like a listing of all Introducing Brokers, including contact information.
18-00117-FOIA	07/30/2018	Copies of the Form 8-R applications and related information on file with NFA for Stephen Barnett Burke ("Burke") , James Dimon ("Dimon"), Timothy Patrick Flynn ("Flynn"), Michael Allen Neal ("Neal"), Daniel Eduardo Pinto ("Pinto") and Lee Roy Raymond ("Raymond") that are responsive to the requests. JPMorgan Chase Bank National Association ("JPM") has requested Confidential Treatment on the Form 8-R applications filed by JPM on behalf of their Principals in conjunction with its Swap Dealer provisional registration.
18-00119-FOIA	07/30/2018	Requests received by NFA on July 23, 2018 and July 24, 2018, for copy of the Form 8-R application and related information for James Dimon ("Dimon"). Please note that JPMorgan Chase Bank National Association ("JPM") has requested confidential treatment on the Form 8-Rs filed by JPM on behalf of their Principals. Requests for confidential documents are forwarded to the Commodity Futures Trading Commission ("CFTC") for a further response.
18-00120-FOIA	07/30/2018	Copies of the Form 8-R applications and related information for Linda Beth Bammann ("Bammann"), James Michael Collins ("Collins"), Todd Anthony Combs ("Combs"), Laban Phelps Jackson ("Jackson"), Marianne Lake ("Lake") and Douglas Petno ("Petno"). Please note that JPMorgan Chase Bank National Association ("JPMC"), JP Morgan Securities LLC ("JPMS") and JP Morgan Securities pie ("JPM") have requested confidential treatment with respect to the Form 8-R applications and related information filed by JPMC, JPMS and JPM on behalf of their Principals. Trading Commission ("CFTC") for a further response. Copies of your requests along with copies of the requested registration documents for Bammann, Collins, Combs, Jackson, Lake and Petno have been forwarded to the CFTC.
18-00121-FOIA	08/13/2018	All emails to and from Michael Gill, chief of staff to the Chairman, that include "@who.eop.gov." I am requesting these documents from July 1, 2018 through July 31, 2018, inclusive.
18-00122-FOIA	08/22/2018	Requesting copies of the following materials: • All data and documents related to investigations the CFTC has carried out in connection with the CFTC's July 12, 2018 Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions, In the Matter of Lansing Trade Group, LLC, CFTC Docket No. 18-16- regarding Lansing Trade Group, LLC (including parent companies, subsidiaries, and affiliates) or its employees for the manipulation of the price of wheat futures and options contracts traded on the CBOT.
18-00123-FOIA	08/29/2018	Please provide the National Treasury Employees Union (NTEU) with the following information regarding the Fair Labor Standards Act (FLSA) exemption status of NTEU-represented bargaining unit positions within the agency or agency division: 1. Position title and grades of career ladder of that position within the bargaining unit (e.g., series 343 program analyst, grades 9-13); 2. FLSA exemption status for each position and grade identified in response to Request No. 1; and 3. The number of bargaining unit employees at each grade of each position.
18-00124-FOIA	08/22/2018	Requesting information on the numeric identifiers used by the CFTC in the Commitment of Traders reports. Provide the full list of numeric IDs used in the reports and the descriptions associated with these (example descriptions would include the market names, contract names or market-categories, etc).
18-00125-FOIA	08/13/2018	Mortgage dispute
18-00126-FOIA	09/11/2018	Information found by the CFTC through whistleblower request. Also, any information concerning retaliation against me for blowing the whistle and any information you have regarding the subsequent investigation of Google and Nick Rayne.
18-00127-FOIA	09/13/2018	Invitation lists for the two Chief FOIA Officers Council Meetings, in addition to attendee lists for these meetings.
18-00128-	08/01/2018	Non-public records for William Ahdout, et al.

FOIA		
18-00129-FOIA	08/01/2018	Non-public documents for William Ahdout, et al.
18-00130-FOIA	09/19/2018	Copies of FOIA requests submitted in FY 2018 that seek records pertaining to U.S. Senator Elizabeth Warren
18-00131-FOIA	09/20/2018	Background documents in re Deutsche Bank AG, etc. CFTC Docket No. 18-06.
18-00132-FOIA	09/21/2018	Information held by the CFTC in relation to the manipulation of the ISDAfix swaps benchmark by ICAP PL
18-00133-FOIA	09/25/2018	Requesting all email correspondences between Commissioner Dawn DeBerry Stump, and any person associated with any of the following groups: Futures Industry Association Stump Strategic LLC NYSE Group, Inc. between January 20, 2017 to the date when this search is conducted. (Date Range for Record Search: From 01/20/2017 To 09/27/2018)
19-00001-FOIA	09/30/2018	Records related to Coin Center, focused on cryptocurrencies
19-00003-FOIA	09/15/2018	Research information on gemstones, gold and commodities.
19-00017-FOIA	09/22/2018	All emails, memoranda and other written records involving CFTC staff, related to the preparation, revision or publication of Notional FAQs, as well as records of telephone calls made from law firms (including Sullivan & Cromwell) to CFTC staff discussing revisions of Notional FAQs within 24 hours of them being published.
19-00018-FOIA	08/26/2018	Information on Harvest Strategy Group, et al.
19-00019-FOIA	09/22/2018	Records relating to hosting or removing URLs on the CFTC website that linked to articles written by Silla Bush, from January 2013 to January 2018, including but not limited to all internal communications, memoranda, and other records related to hosting or removing such URLs.

Total No of Requests : 141